



2010 Strategy and Performance Planning – Project Description

Strategic Planning and Program Evaluation Division
Office of Policy, Plans, and Regulations

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I. Introduction

The Motor Carrier Safety Improvement Act (MCSIA) of 1999, Pub. L. 106-159, created the Federal Motor Carrier Safety Administration (FMCSA) in January 2000. Section 104 of the Act requires the Secretary to develop a long-term strategy for improving commercial motor vehicle, operator, and carrier safety. In 1999, the Secretary established a Department (DOT) goal to reduce large truck-related fatalities by 50 percent by the end of fiscal year 2009. To address both the Congressional and Departmental imperatives, a strategy and performance plan to improve truck and bus safety will be prepared by FMCSA and submitted to Congress this fall. The plan will integrate the Agency and Department goals, strategies, performance measures, and resource estimates for the planning period between fiscal years 2002 and 2010. Furthermore, it will be consistent with the Department five-year strategic plan and annual performance plans mandated by the Government Performance and Results Act (GPRA), Pub. L. 103-62.

II. Background

FMCSA recently released its Safety Action Plan and first annual Performance Plan. These two documents, available at <http://www.fmcsa.dot.gov/sap/stratplan>, describe the Agency's immediate program priorities and resource requirements. The 2010 strategy and performance planning process described herein will build on these documents and lay a foundation for future planning and budgeting. In addition to developing a long-term strategy and performance plan, another result of this project will be the development of a process by which the assumptions and decisions underlying annual plans and budgets can be periodically revised during the coming years.

DOT is currently developing a fiscal year 2000-2005 strategic plan to comply with the GPRA. The strategies in this plan build upon five Department goals; one of which is to improve transportation safety. FMCSA reviewed the DOT plan requirements in designing this process. GPRA requires that annual performance plans and performance agreements be submitted by the Department. Modal administrations including FMCSA submit performance plans and agreements annually to support this activity. Ideally, these annual plans are based on the long-term goals and strategies of each agency. To the extent possible, the modal goals and outcomes should be consistent with those in the DOT strategic plan. In addition, FMCSA must meet the requirements for strategic planning and performance measurement in the MCSIA legislation.

Notwithstanding its planning to date, FMCSA and the DOT need to develop a long-term strategy and program performance framework to improve commercial motor vehicle safety. As illustrated in Exhibit 1, the strategy will be based on the legislative authority, agency goals and policies, and input from clients, stakeholders, and staff. Once in place, the strategy will drive the annual budget and performance plans as well as any future program or operational plans, including updates to the Safety Action Plan. Using this framework, the long-term strategy will serve as the starting point for the decisions in the annual planning and budget cycle. The strategy will be periodically updated or revised every few years to reflect

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external trends and influences or changing internal and partner capabilities.

The planning process should form the basis for new and better working relationships among all involved parties and for a commitment to future discussion and joint efforts. It should be broad, inclusive, and encourage all points of view. Finally, the planning process should not be viewed as an event, nor the plan viewed as simply a product. It should be the starting point for a consistent and integrated planning and budgeting process in the Agency in the coming years.

III. Scope

The planning process will address the following questions.

- a) What is known about the nature of the truck and bus safety problem? What is known about the cause of truck and bus crashes? What are expected to be the major factors influencing this problem in the future?
- b) What are the long-term goals of the FMCSA? Are the truck and bus safety goals fully defined? Do our clients, stakeholders, and staffs agree that these goals should be the priorities of the agency?
- c) What legislative, policy, program, and operational strategies should the agency employ to achieve these goals? What role will FMCSA play? What role(s) do other federal agencies, state agencies, and local governments play in cooperation with FMCSA? What role(s) should industry, safety groups, citizen groups, and other constituencies adopt to achieve these goals? In collaboration with the federal government, what cooperative and enabling strategies should they adopt?
- d) How much and what kind of resources (e.g., funds, staffing, tools) will be needed to implement these strategies? In addition to resources, what are the internal organizational characteristics that enable or prevent their implementation?
- e) How should the results be utilized to improve future FMCSA and DOT performance planning, budgeting, and program decisions regarding motor vehicle, operator, and carrier safety? How will FMCSA know if progress toward the safety goal is made?

IV. Deliverables

The following deliverables will be developed as a result of this project.

- 1. Assessment of the truck and bus-related crash problems.
- 2. A statement of the FMCSA mission, vision, values, and goals.
- 3. A series of papers on trends impacting truck and bus safety.
- 4. A series of issues papers outlining key vehicle, operator, and carrier safety challenges and their potential solutions.

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5. FMCSA and DOT long-term strategies and a discussion of current and future resource requirements.
6. FMCSA program performance model, including an outcome monitoring and evaluation plan.

A brief description of each deliverable is provided below.

Assessment of the truck and bus-related crash problem will consist of an analysis of the current situation based on crash data for the period between 1994 and 1998. The study will include an assessment of fatal and non-fatal crash trends, a breakdown of crashes by characteristics such as vehicle configuration, roadway type, and first harmful event, and a discussion of other currently available analyses of crash incidence. This result addresses the questions in paragraph a. above.

As a new agency, FMCSA has yet to define its mission, vision, values and goals. A draft statement of the Agency mission, vision, values, goals will be developed and refined into its final form through dialogue among staff, clients, and stakeholders. This result addresses the questions in paragraph b. above.

A series of trend papers will provide an initial assessment of the industry, economic, and social trends that will impact truck and bus safety over the next decade. This will include broad social issues, information technology, global transportation issues, medical and behavioral changes, political trends, and modal changes.

A series of issue papers will consist of more in-depth analyses of how future trends, developments, and events in industry and government influence the factors that contribute to the truck and bus safety crashes. This discussion will further identify potential solutions and their impact on reducing the problem. In each of these papers, the following points will be addressed:

- statement of the issue or challenge;
- trends in markets, technologies, and society driving this issue;
- policy, programs, operational challenges;
- potential solutions with time horizons and resources needed;
- possible impact on goal(s); and
- the role government, private, and non-profit parties will play in implementing potential solutions.

The trends and issue papers will serve as the basis for developing a strategy and performance plan framework. In addition to these papers, an assessment of current organization and resource requirements will support the development of the framework. The framework will include strategies to address the current and emerging safety problems and an estimate of resource requirements based on the funding currently or potentially available. Taken together, the trends and issues papers and the plan framework address the questions in paragraphs c. and d. above.

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The program performance model will describe the relationships between program activities and goal-related outcomes, and will identify the performance indicators that are needed to measure progress toward the goals. A first sketch of a model is presented in Exhibit 2. Building on existing work, it will also include a discussion of what data needs to be collected, a performance data collection implementation plan, and a list of future outcome monitoring and evaluation studies of programs and processes that are needed in order to assess the overall results. This model addresses the questions in paragraph e. above.

The last two deliverables make up the strategy and performance plan framework. This framework consists of the FMCSA goals or targets, strategies or approaches, measures or results, and resources or needs.

V. Schedule

As illustrated in Exhibit 3, the planning process will unfold in four stages. In stage 1, an initial review and analyses of existing information will be conducted and the first two deliverables will be produced in draft form. In the second stage, the third and fourth deliverables will be completed in draft form. In the third stage, the fifth and six deliverables will be developed. In the fourth stage, all six deliverables will be refined and completed.

A planning committee is responsible for the completion of all project tasks associated with the deliverables. The planning committee will define and undertake the various tasks, support management decision-making, and publicize the initial and final results through various outreach mechanisms. Its membership will be expanded as needed to include staff representing other DOT modal administrations. Input from employees, clients, and stakeholders will be encouraged at several stages in the process using a discussion web site and other forms of outreach. Participants should represent all levels of government, private industry, citizen groups, academia, and others who have an interest in commercial vehicle safety.

The planning committee will review the analyses and input so that FMCSA senior management can decide future goals, strategies, measures, and resource needs. In doing so, FMCSA management will specifically address the following questions:

- What is the nature of the problem? Where can the greatest gains in safety be realized?
- What are the emerging trends and issues impacting truck and bus safety?
- What are our current strategies? Are other strategies needed?
- What is the potential crash reduction benefit of current strategies?
- How are current resources divided among the strategies?
- What capabilities are needed to implement the mix of strategies over the next 10 years?
- What additional resources and capabilities are needed?
- How will we gain buy-in and participation in the strategies we adopt?
- How will we determine our progress and program success?

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A draft strategy and performance plan will be submitted to Congress in the fall. It will serve as the basis for the follow-up work to refine and complete the strategy and performance plan framework before the end of the calendar year.

VI. Request for Comments

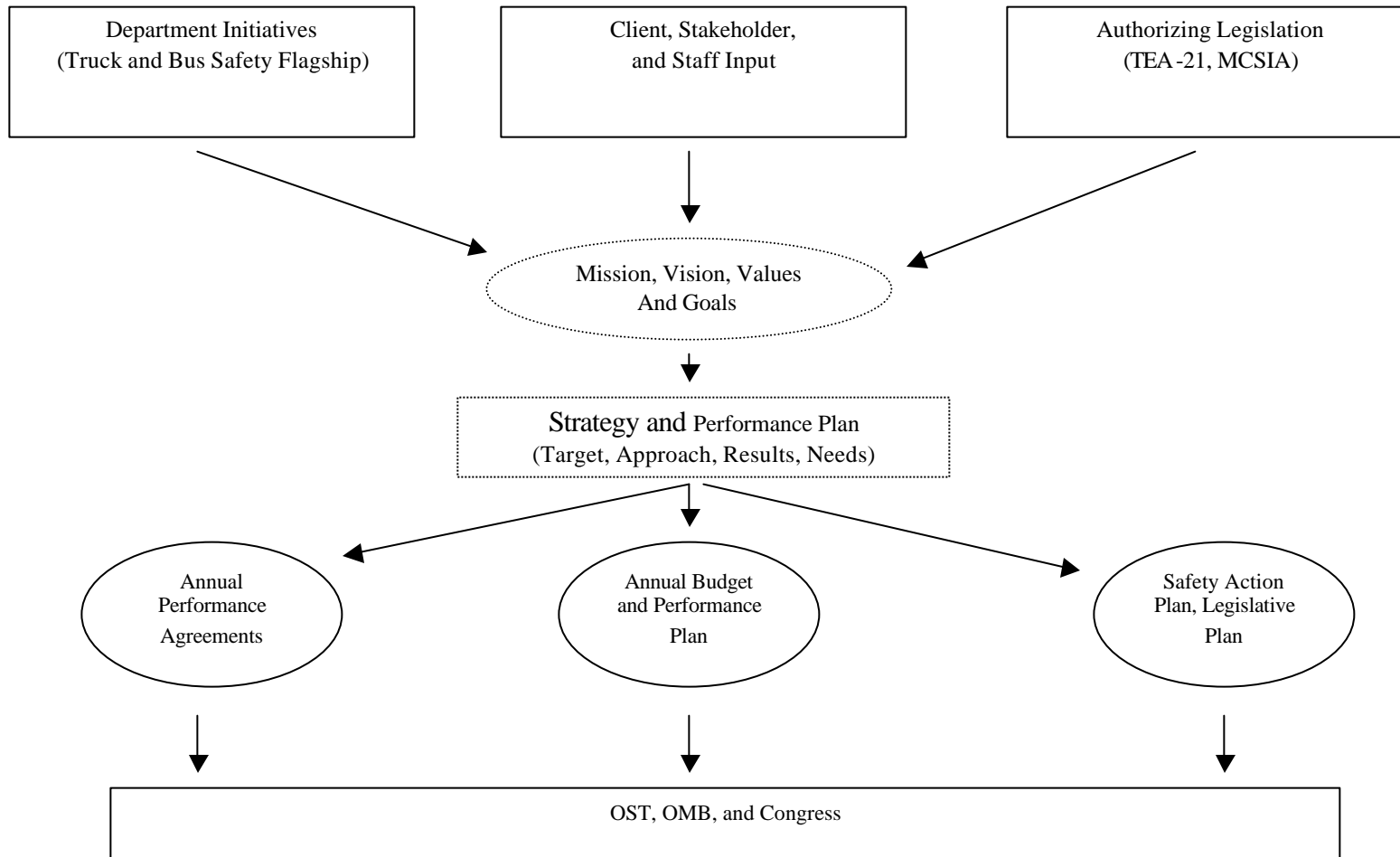
The committee welcomes comments, information, and ideas on all aspects of this project from staff, stakeholders, and clients. More specifically, interested parties are invited to comment on the purpose and scope of the 2010 strategy and performance planning process described in this document, submit information and ideas that will assist the Agency in conducting the analyses in order to address the questions in sections III and V above, and comment on draft versions of the strategy and performance plan when they are available later this year.

Draft versions of plans and documents, as well as additional information about the project, will be available thru the Internet at www.fmcsa.dot.gov/sap/stratplan.htm. An on-line discussion site is being developed to facilitate and support the project. When available, more information about this site will be provided at the address above.

VII. Planning Committee

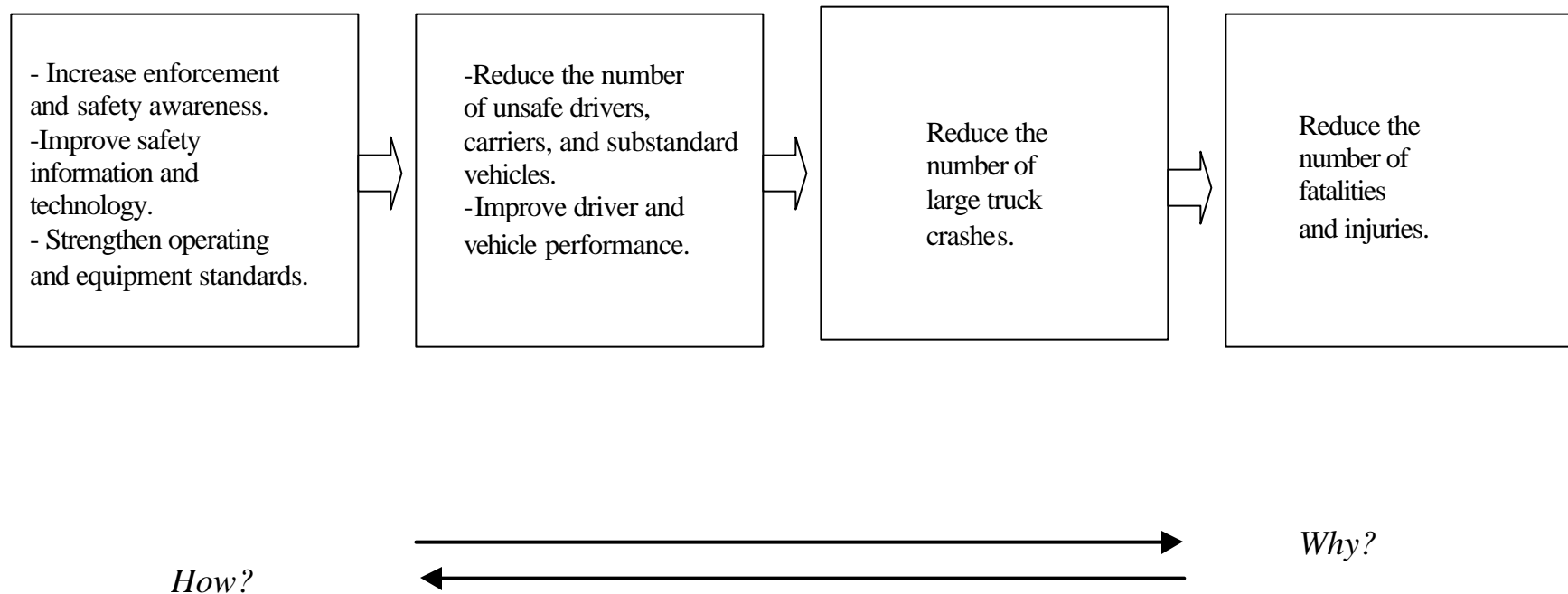
Walter Adams, Finance Budget and Management Services
Bonnie Bass, Enforcement and Compliance Division
Bill Bensmiller, Nevada Division
Dan Hartman, State Programs Division
Ron Knipling, Research Division
Doug McKelvey, Technology Division
Robert Proferes, Strategic Planning and Program Evaluation Division
Terry Shelton, Data Analysis & Information Systems
Woody Stanley, Strategic Planning and Program Evaluation Division
Kenneth Strickland, Indiana Division

Exhibit 1. Current Planning and Budgeting Environment



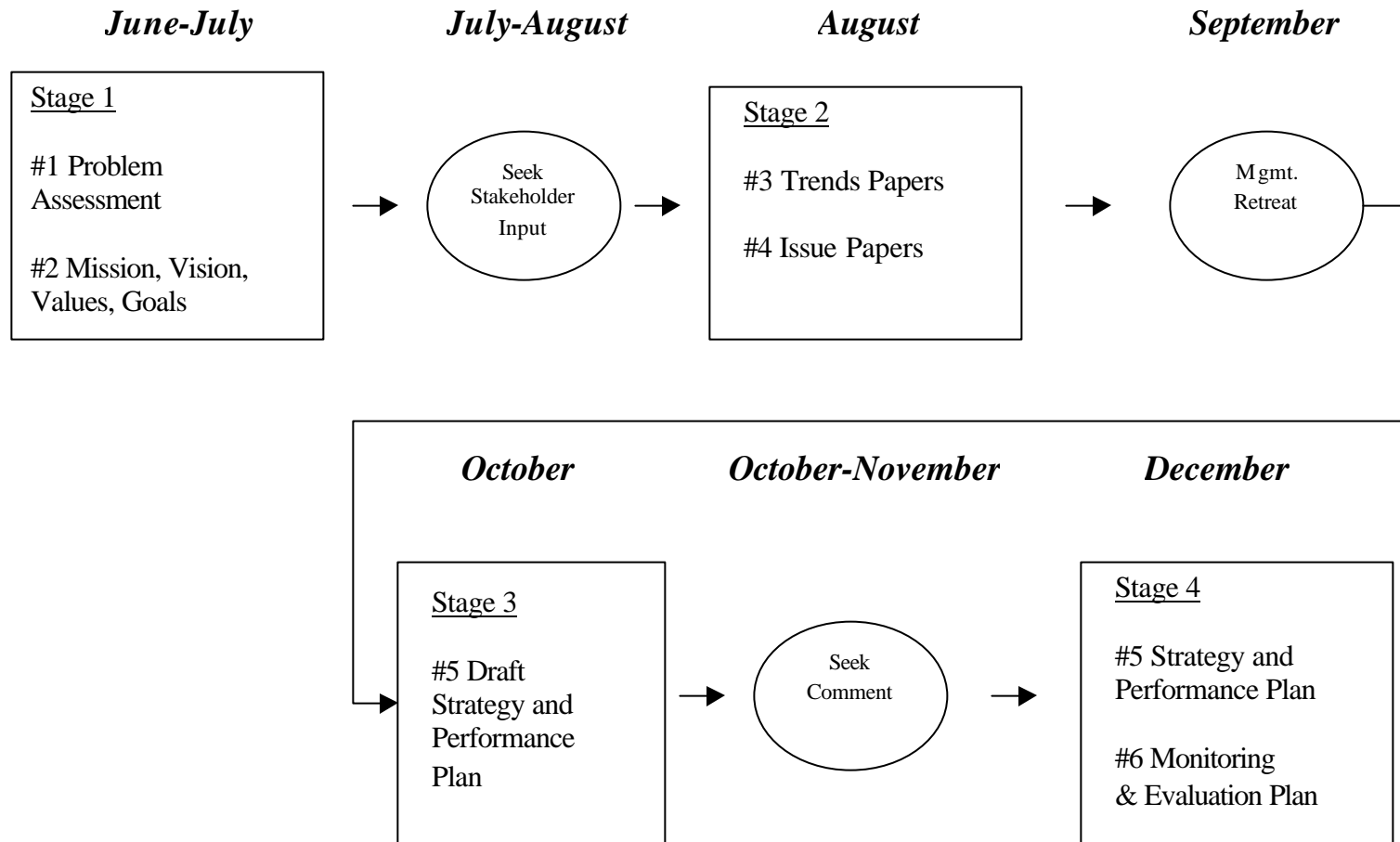
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Exhibit 2. FMCSA Program Performance Model.



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Exhibit 3. Planning Process and Deliverables.



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